

State of Tennessee Department of Children's Services

Administrative Policies and Procedures: 9.2

Subject: Youth Case Files In DCS Group Homes

Supersedes: DCS 9.2, 01/01/04 Local Policy: No

Local Procedures: No Training Required: No

Applicable Practice Model Standard(s): Yes

Approved by: This of Mills Effective date: 07/01/98

Revision date: 04/01/05

Application

To All Department of Children's Services DCS Group Home Supervisors, Case Managers and Employees

Authority: TCA 37-5-106

Policy

All youth case files shall be maintained in the following systematic manner and shall be safeguarded from unauthorized and improper disclosure of information.

Procedures

A. Confidentiality

- Case files must be marked "CONFIDENTIAL." The file cabinets or drawers where files are stored must be marked "CONFIDENTIAL." Case files must be stored alphabetically by the youth's name.
- When not in use, active and inactive student master files shall be stored in a locked metal cabinet. Each cabinet containing case files shall be clearly labeled "CONFIDENTIAL."
- 3. The release of case file information must be in accordance with Federal and State statutes, DCS policies 9.5, Access and Release of Confidential Child-Specific Information; 20.25, Confidentiality Release of Health Information For Youth in Departmental Treatment Facilities and applicable DCS Health Insurance Portability and Accountability Act of

Index 9.2 Effective date: July 1, 1998 Page 1 of 6 CS-0001 Revised date: April 1, 2005

1996 (HIPAA) policies.

B. Case file style

- All documents related to a youth must be maintained in the format outlined in section "C" of this policy. The style of file used to maintain information is left up to each facility. Tabs or index dividers labeling the sections must be on top of the documents and areas easily identified. If binders are used, closed files should not be stored in the binders. Binders should be recycled and used over again.
- 2. Information must be filed in chronological order with the most recent on top.
- All information received from outside the Department of Children's Services must be stamped with the date of receipt.
- 4. The tab or spine of the file cover should list at, a minimum, the youth's last name, first and middle initials and date of birth.
- 5. If the record expands to more than one binder the material should be kept in one set of tabs with contents divided between the multiple binders. If one section of a folder becomes full, a second file for one section, i.e., conduct, psychological may be created as a continuation of the youth's case file.

C. File contents

The contents of a youth's case paper file must be organized from front to back utilizing the following format:

- <u>Legal/Intake/Release</u>: This section consists of, but is not limited to, initial identifying information describing the youth and his/her family, all record information generated for or by the judiciary and the release documentation from the facility and documents issued by another entity. Appropriate documentation shall include the following:
 - a) Release documents CS-0130, Release to Home Placement or CS-0041, Notification of Proposed Home Placement
 - b) CS-0060, Facility Face Sheet (completed)
 - c) Court orders/re-hearings/new charges
 - d) Prior record from court

Index 9.2 CS-0001 Effective date: July 1, 1998 Revised date: April 1, 2005

- e) Correspondence to and from court
- f) CS-0318, Referral to DCS Legal Services/Legal Aid
- g) Photo of youth upon entry into program if not on face sheet
- h) Signed statement that orientation has been completed-CS-0176, Orientation Checklist
- i) CS-0158, Notification of Equal Access to Programs
- i) Social Security Card
- k) Birth certificate
- I) Driver's license number (if available)
- m) Other related legal material
- Case Recordings/Correspondence: This section consists of, but is not limited to, chronological information concerning each contact with the youth/family or other individuals. Appropriate documentation shall include the following:
 - Narratives, monthly recordings, collaterals, case notes/progress notes, dictation, contacts or case documentation on youth and family contact.
 - All entries must be dated and identified by the signature of the person making the entry.
 - c) Correspondence to family, collateral contacts home county case manager and within the facility.

3. Social History/Functional Assessment:

Social histories/functional assessment, non-custodial assessment, predispositional report, master index

- 4. <u>Assessment/Psychological</u>: This section consists of, but is not limited to, information collected and utilized as the basis for all case management decisions made for families and children relative to the intensity of their level of care services and information collected by any mental health professionals. Appropriate documentation shall include the following:
 - a) Information from referral source

Effective date: July 1, 1998 Page 3 of 6 Revised date: April 1, 2005

- b) Contacts with mental health professionals
- c) Psychological evaluations
- d) Summary of testing
- Individual Program Plan(IPP)/Treatment Plan: This section consists of, but is not limited to information describing or related to the treatment plan for a youth and their families. Appropriate documentation shall include the following:
 - a) CS-0559, Authorization for Release of Child-Specific Information
 - b) Permanency plans/Plan of Care/Treatment Plan/Individual Program Plan (IPP)
 - c) Progress reports/staffing summaries/periodic reviews
 - d) Referrals to other agencies
 - e) Reclassification documents
- Visitation/Pass/Property/Telephone: This section consists of documentation of approved contacts, passes and youth's personal property.
 - a) CS-0111, Approved Visitor List
 - b) Visitor information/correspondence denying visitation
 - c) Approved telephone list
 - d) CS-0058, Temporary Custody Agreement
 - e) CS-0162, Personal Property Inventory
 - f) CS-0317, Property Inventory For Passes from community residential program
 - g) Documentation of lost or stolen property/correspondence regarding property
- Educational/Vocational/Employment: This includes public school information, DCS school data upon youth's release and employment information and documentation.
 - a) Educational/vocational testing
 - b) Public school documentation

Effective date: July 1, 1998 Page 4 of 6 Revised date: April 1, 2005

- c) DCS school documentation (upon release)
- d) Employment information/pay stubs
- 8. **Medical**: Medical records and health history upon release
 - a) CS-0206, Informed Consent to Routine Health Services for Minors
 - b) All medical records upon release
 - c) TennCare change of circumstance
 - d) Copy of TennCare card
 - e) Medical file upon release for archiving
- Conduct/Incident Reports/Grievances: This section consists of, but is not limited to, information regarding significant events requiring official documentation and correspondence from other agencies and youth grievances and appeals that are written during the facility commitment. Appropriate documentation shall include the following:
 - a) CS-0311, Incident Report
 - b) CS-0296, Notice of Apprehension
 - c) Disciplinary Reports
 - d) Point Sheets/Behavioral Contracts
 - e) Grievances
 - f) Appeals
- 10. <u>Miscellaneous</u>: This section consists of, but is not limited to, copies of computer generated documents and other information related to the youth's case.
- D. Consolidating files

Upon a youth's release from the department or transfer to a contract agency, all other working files on a youth, such as educational, medical and counseling, will be consolidated into the master youth case file for storage pending eventual disposition.

Index 9.2 Effective date: July 1, 1998 CS-0001 Revised date: April 1, 2005

E. Case file auditing

The DCS Group Home supervisor must review all case files monthly. This must be documented by a date and signature of the supervisor at the end of the month's case recordings.

Forms

See forms listed above in policy.

Collateral Documents

None

Standards

ACA 3-JCRF-1E-01

ACA 3-JCRF-1E-02

ACA 3-JCRF-1E-03

ACA 3-JCRF-1E-04

ACA 3-JCRF-1E-05

ACA 3-JCRF-1E-07

DCS Practice Model Standard -8-306